

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Merja E. PENTTILA et al.Application No./Patent No.: 10/663,450Filed/Issue Date: September 15, 2003Entitled: INCREASED PRODUCTION OF SECRETED PROTEINS BY RECOMBINANT EUKARYOTIC CELLSGenencor International, Inc., a corporation  
(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**OR**

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

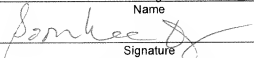
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Soonhee Jang

Name

Date



Signature

650-846-7620

Telephone Number

V.P. IP Strategy & Chief IP Counsel

Title

COPY  
from parent

### Assignment

WHEREAS, **Merja E. Penttilä**, residing at Vattuniemenkatu 22A2, Helsinki, Finland 00210; **Michael Ward**, residing at 4372 – 24<sup>th</sup> Street, San Francisco, CA 94114; **Huaming Wang**, residing at 4337 CalypsoTerrace, Fremont, CA 94555; **Mari J. Valkonen**, residing at Harjutorinkatu 1A16, Helsinki, Finland 00500 and **Markku L.A. Saloheimo**, residing at Kyntäjantie 18b, Helsinki, Finland 00390 have invented a new and useful invention entitled **INCREASED PRODUCTION OF SECRETED PROTEINS BY RECOMBINANT EUKARYOTIC CELLS** and an application for United States Letters Patent was filed on March 23, 2001, United States Serial No. 09/816,277 and

WHEREAS, **Genencor International, Inc.**, a corporation organized and existing under and by virtue of the laws of the State of Delaware, having its principal place of business at 925 Page Mill Road, Palo Alto, California 94304-1013, is desirous of acquiring an interest in and to said invention, and in the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern:

That for good and valuable consideration the receipt of which is hereby acknowledged, the said inventors have and do hereby sell, assign, transfer and set over unto the said Genencor International, Inc., its successors and assigns, the full and exclusive right, title and interest, including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but for, to and in all other countries, and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said Genencor International, Inc. in accordance with this Assignment.


Said Inventor/Inventors hereby covenant/covenants and agree/agrees to cooperate with Genencor International, Inc. to enable said Genencor International, Inc. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers and other assistance, all to the extent deemed necessary or desirable by said Genencor International, Inc. for (a) perfecting the right, title and interest herein conveyed, (b) prosecuting any of said applications, (c) filing and prosecuting applications for reissuance of any said patents, (d) interference or other priority proceedings involving said invention, and (e) legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation, opposition proceedings, cancellation proceedings, priority

contests, public use proceedings, infringement actions and court actions, provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Genencor International, Inc.

The terms and covenants of this Assignment shall inure to the benefit of said Genencor International, Inc., its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.

Said Inventors hereby warrant and represent that they have not entered and will not enter into any assignment, contract or understanding in conflict herewith.

IN WITNESS WHEREOF I undersign as follows:

By:   
Merja E. Pentilla

On 3rd day of May, 2001, before me, ESBO, Notary Public, personally appeared, Merja E. Pentilla, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that she executed the same in her authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

  
Pirjo Halonen  
Notary Public



IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_  
Michael Ward

STATE OF CALIFORNIA                    )  
COUNTY OF                                )

On \_\_\_\_\_, 2001, before me, \_\_\_\_\_, Notary Public, personally appeared, Michael Ward, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

\_\_\_\_\_

IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_  
Huaming Wang

STATE OF CALIFORNIA )  
COUNTY OF )

On 30th day of May, 2001, before me, ESIC, Notary Public, personally appeared, Huaming Wang, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

Pirjo Halonen  
Pirjo Halonen  
Notary Public



IN WITNESS WHEREOF I undersign as follows:

By: Mari J. Valkonen  
Mari J. Valkonen

On 30th day of May, 2001, before me, ESIC, Notary Public, personally appeared, Mari J. Valkonen, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that she executed the same in her authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

Pirjo Halonen  
Pirjo Halonen  
Notary Public



IN WITNESS WHEREOF I undersign as follows:

By: Markku L.A. Saloheimo  
Markku L.A. Saloheimo

On \_\_\_\_\_, 2001, before me, \_\_\_\_\_, Notary Public, personally appeared, Markku L.A. Saloheimo, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

\_\_\_\_\_

### Assignment

WHEREAS, **Merja E. Penttila**, residing at Vattuniemenkatu 22A2, Helsinki, Finland 00210; **Michael Ward**, residing at 4372 – 24<sup>th</sup> Street, San Francisco, CA 94114; **Huaming Wang**, residing at 4337 CalypsoTerrace, Fremont, CA 94555; **Mari J. Valkonen**, residing at Harjutorinkatu 1A16, Helsinki, Finland 00500 and **Markku L.A. Saloheimo**, residing at Kyntäjantie 18b, Helsinki, Finland 00390 have invented a new and useful invention entitled **INCREASED PRODUCTION OF SECRETED PROTEINS BY RECOMBINANT EUKARYOTIC CELLS** and an application for United States Letters Patent was filed on March 23, 2001, United States Serial No. 09/816,277 and

WHEREAS, **Genencor International, Inc.**, a corporation organized and existing under and by virtue of the laws of the State of Delaware, having its principal place of business at 925 Page Mill Road, Palo Alto, California 94304-1013, is desirous of acquiring an interest in and to said invention, and in the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern:

That for good and valuable consideration the receipt of which is hereby acknowledged, the said inventors have and do hereby sell, assign, transfer and set over unto the said Genencor International, Inc., its successors and assigns, the full and exclusive right, title and interest, including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but for, to and in all other countries, and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said Genencor International, Inc. in accordance with this Assignment.

Said Inventor/Inventors hereby covenant/covenants and agree/agrees to cooperate with Genencor International, Inc. to enable said Genencor International, Inc. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers and other assistance, all to the extent deemed necessary or desirable by said Genencor International, Inc. for (a) perfecting the right, title and interest herein conveyed, (b) prosecuting any of said applications, (c) filing and prosecuting applications for reissuance of any said patents, (d) interference or other priority proceedings involving said invention, and (e) legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation, opposition proceedings, cancellation proceedings, priority

contests, public use proceedings, infringement actions and court actions, provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Genencor International, Inc.

The terms and covenants of this Assignment shall inure to the benefit of said Genencor International, Inc., its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.

Said Inventors hereby warrant and represent that they have not entered and will not enter into any assignment, contract or understanding in conflict herewith.

IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_  
Merja E. Pentilla

On \_\_\_\_\_, 2001, before me, \_\_\_\_\_, Notary Public, personally appeared, Merja E. Pentilla, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that she executed the same in her authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

\_\_\_\_\_

IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_  
Michael Ward

STATE OF CALIFORNIA )  
COUNTY OF \_\_\_\_\_ )

On 16 May 2001, 2001, before me, Anke E. Luttrell, Notary Public, personally appeared, Michael Ward, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

\_\_\_\_\_



IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_

Huaming Wang



STATE OF CALIFORNIA )  
COUNTY OF )

On May 16, 2001, before me, Anke E. Luttrell <sup>ELL</sup>, Notary Public, personally appeared, Huaming Wang, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.



IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_

Mari J. Valkonen

On \_\_\_\_\_, 2001, before me, \_\_\_\_\_, Notary Public, personally appeared, Mari J. Valkonen, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that she executed the same in her authorized capacity for the purposes set forth therein.

Witness my hand and official seal.

IN WITNESS WHEREOF I undersign as follows:

By: \_\_\_\_\_

Markku L.A. Saloheimo

On \_\_\_\_\_, 2001, before me, \_\_\_\_\_, Notary Public, personally appeared, Markku L.A. Saloheimo, personally known to me or proven to me on the basis of satisfactory evidence to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same in his authorized capacity for the purposes set forth therein.

Witness my hand and official seal.